



Enabling Strategic Choice

Institutional Reform and Governance

ACP 3: Decision Framework

DAWG Brief
June 22, 2007



Institutional Reform and Governance (IR&G)

ACP 3: Decision Framework

- ❑ ACP 3 from March 15 DSD Memorandum:
 - The Department needs an overarching framework:
 - o Common sense of value
 - o Strategy to outcomes linkage
 - o Transparent and integrated
 - o Enable strategic choice
- ❑ Seeking DAWG Approval
 - Enterprise decision framework and process alignment
 - Top -Level Joint Capability Areas (JCA's) Endorsement as capability component of overarching framework
 - Establishment of Business Rules to align resources to the framework
 - Integrated Information Management Plan and Governance Mechanism

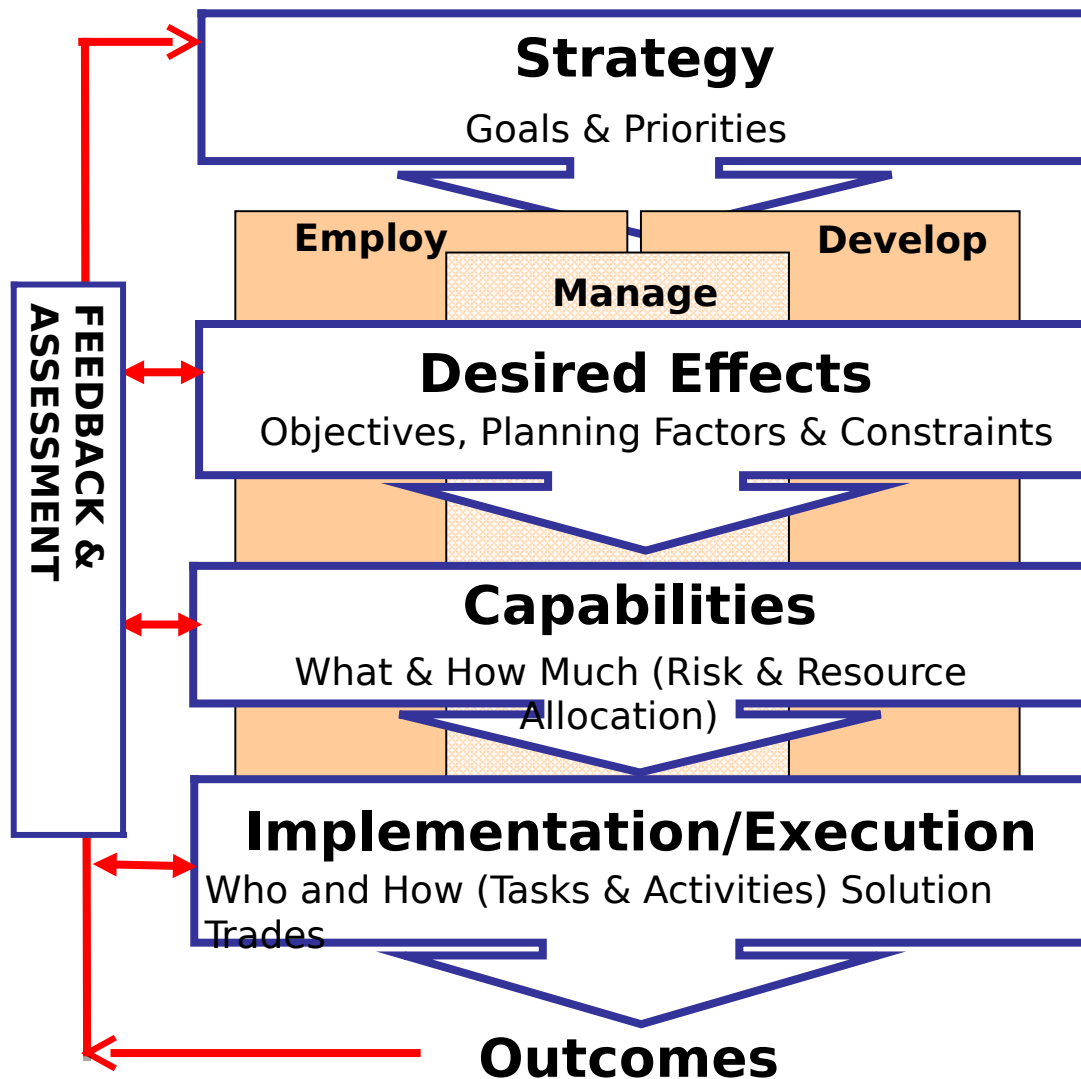
Goal: Provide clear translation of strategy into planning guidance that better informs

capability provider (Title X) to produce outputs aligned to Strategy



Establish an Overarching Framework

Enabling Strategy to Outcomes Alignment





Example Strategy: Goals and Priorities

From the 2006 QDR:

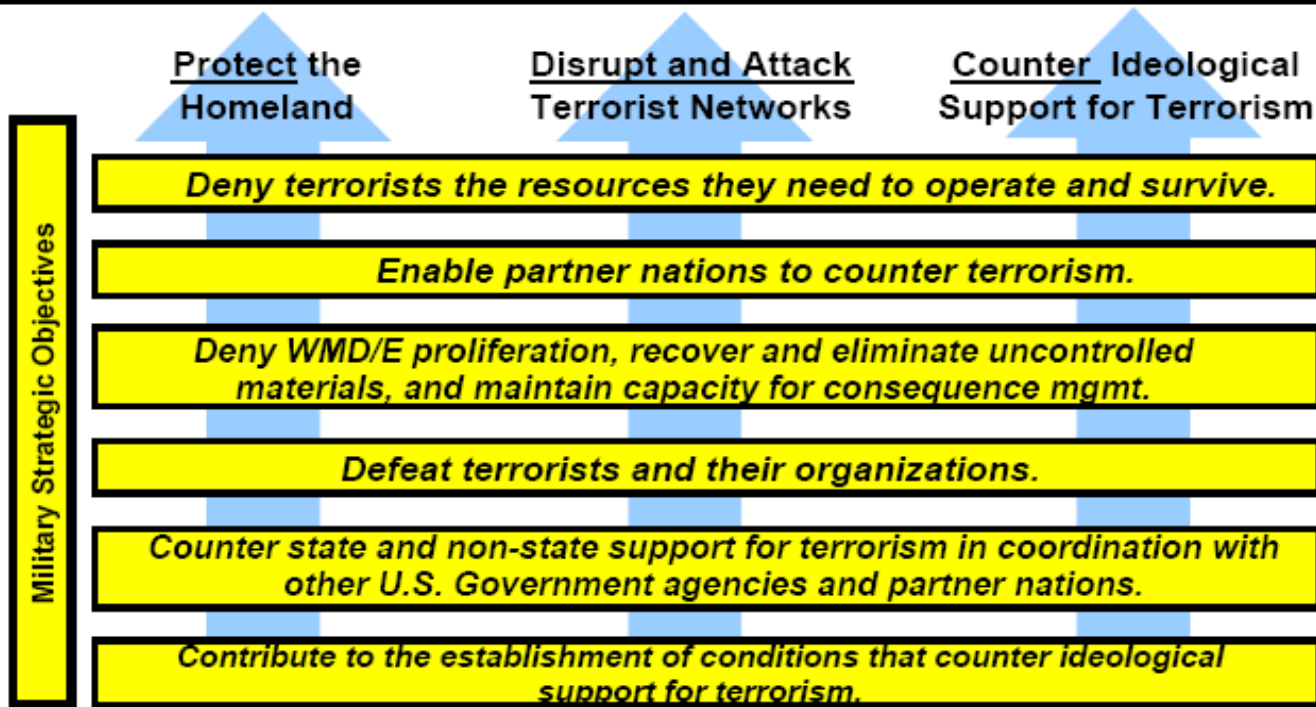
- To operationalize the *National Defense Strategy*, the Department's senior civilian and military leaders identified four priority areas for examination during the QDR:
 1. Defeating terrorist networks.
 2. Defending the homeland in depth.
 3. Shaping the choices of countries at strategic crossroads.
 4. Preventing hostile states and non-state actors from acquiring or using WMD.



Example Desired Effects: Campaign Plan Objectives, Planning Factors and Constraints

Defeating Terrorist Networks Military Strategic Framework for the GWOT

Strategic Goal: Preserve and promote the way of life of free and open societies based on the rule of law, defeat terrorist extremism as a threat to our way of life, and create a global environment inhospitable to terrorist extremists.





Example Capabilities: Operational Plan Assessment (What & How Much)

	B	C	D	E	F	G
1	Enter effect prioritizations in this row (High Importance- H, Important- I, Low Importance- L)					
2	Enter JCA prioritizations in this column (High Importance- H, Important- I, Low Importance- L)	TIER 1 JCA / Tier 2 JCA	Effect 1 AQ and Affiliates are denied safe havens, freedom of movement and funding to establish new footholds (H)	Effect 2 Friendly nations defeat terrorist threats within their borders (I)	Effect 3 Terrorists cannot acquire or employ WMD/E (I)	Effect 4 COCOM is able to recover and eliminate uncontrolled WMD/E materials and maintain the capacity to conduct consequence management in the AOR (I)
3	I	JOINT ACCESS & ACCESS DENIAL				Effect 5 Terrorist organizations are unable to conduct attacks against U.S. homeland and interests (H)
4	H	Contingency Basing	X	X	X	X
5	L	Counter Operational Mobility				
6	L	Forcible Entry				
7	I	Freedom of Navigation	X		X	
8	H	LOC Protection	X		X	
9	L	Seabasing				
10	I	JOINT AIR OPERATIONS				
11	L	Air Interdiction				
12	L	Offensive Counterair Ops				
13	L	Strategic Attack	X		X	X
14	L	Tactical Air Support	X	X	X	X
15	H	JOINT BATTLESPACE AWARENESS				
16	H	Analysis & Production	X	X	X	X
17	H	Dissemination & Integration	X	X	X	X
18	H	Evaluation & Feedback	X	X	X	X
19	H	Observation & Collection	X	X	X	X
20	H	Planning & Direction	X	X	X	X
21	H	Processing & Exploitation	X	X	X	X

X Sufficient

X Gap

X Overage



Example Implementation / Execution:

Who and How (Tasks & Activities) Solution Trades

Capability Provider	Tactical Aircraft	Inventory
Navy	F/A-18E/F	558
Air Force	F-15A/B/C/D	197
Air Force	F-15E	138
Air Force	F-16	414
Air Force	F-22A	38

- ❑ Exploring the solution space:
 - Evaluate On-Hand Capability
 - Evaluate alternatives to fill gap:
 - Increase current capability-buy more airframes
 - Substitute alternatives
 - Change DOT_LPF
 - Accept Risk
 - Present decision makers with options in terms of risk and resources
 - Execute a decision

(Notional Example addressing a Joint Air Operations, Tactical Air



Strengthening the Role of Mission Analysis Process—

~~Operationalize Strategy & Produce the Demand Signal for the Enterprise~~

- Should provide the transparent link from Strategy to what and how much capability

Needs to answer these questions to enable senior leadership's risk and resource allocation decisions across plans.

1. What capability and how much is required to deliver desired effects across the plans?

2. What and how much do we have in our programmed force?

3. Where are we sufficient ?

4. Where are the capability gaps?

5. What do we have too much of?

6. Where can we exploit interdependencies ?

7. Given resource constraints where should the

Department consider taking

Near to Mid Term						Mid to Far-Term					
	Plan 1	Plan 2	Plan 3	Plan 4	Plan 5		DPS 1	DPS 2	DPS 3	DPS 4	DPS 5
Effect A	X	X	X	X	X	Effect A	X	X	X	X	X
Effect B	X		X		X	Effect B	X		X		X
Effect C						Effect C					
Effect D		X	X	X	X	Effect D		X	X	X	X
Effect E			X			Effect E			X		
Capability	Effect A	Effect B	Effect C	Effect D	Effect E	Capability	Effect A	Effect B	Effect C	Effect D	Effect E
Capability 1			✓			Capability 1		✓			
Capability 2	✓		✓			Capability 2	✓		✓		
Capability 3			✓	✓	✓	Capability 3		✓	✓	✓	✓
Capability 4	✓	✓	✓		✓	Capability 4	✓	✓	✓	✓	✓
Capability 5					✓	Capability 5		✓		✓	✓
Capability 6	✓				✓	Capability 6	✓	✓	✓		✓
Capability 7		✓		✓	✓	Capability 7		✓		✓	✓
Capability 8	✓					Capability 8	✓		✓		
Capability 9	✓	✓		✓		Capability 9	✓	✓	✓		
Capability 10	✓			✓		Capability 10	✓				
Capability N	✓					Capability N	✓				

Capabilities to Force Structure Near to Far-Term

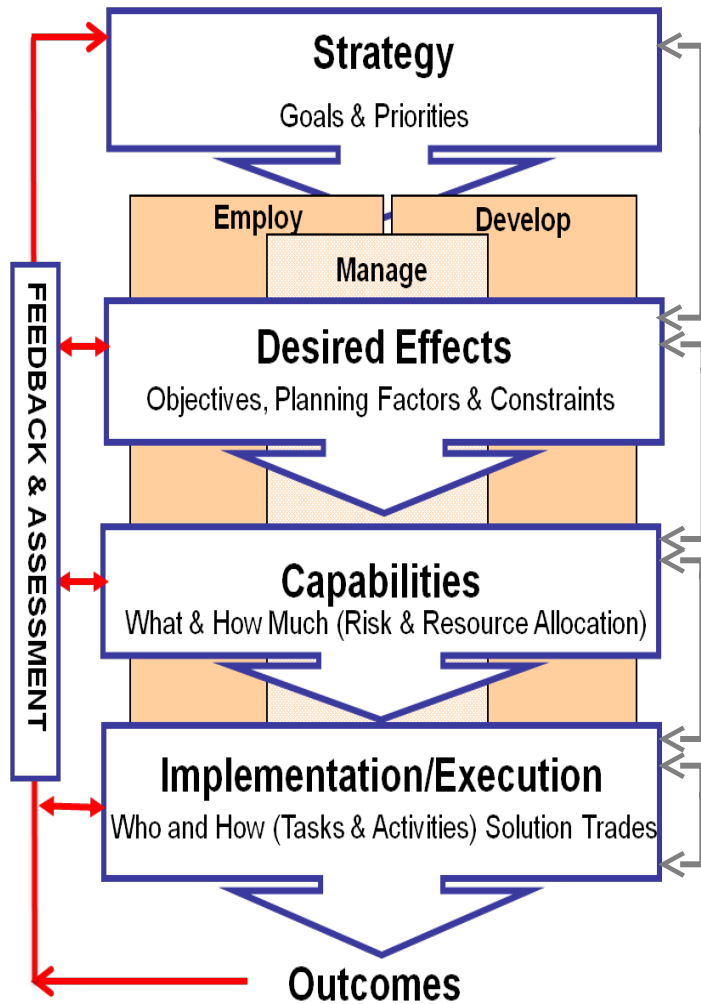
	Capability 1	Capability 2	Capability 3	Capability 4	Capability 5	Capability 6	Capability N
USA	✓		GAP			✓	
USA				✓		✓	
USA	✓	✓				✓	
USN		✓					
USN				✓			✓
USN	✓						✓
USMC				✓		✓	
USMC		✓				✓	
USMC	✓					✓	
USAF		✓					
USAF				✓			✓
USAF		✓					
DADW	✓				✓		
DADW				✓	✓		
DADW							



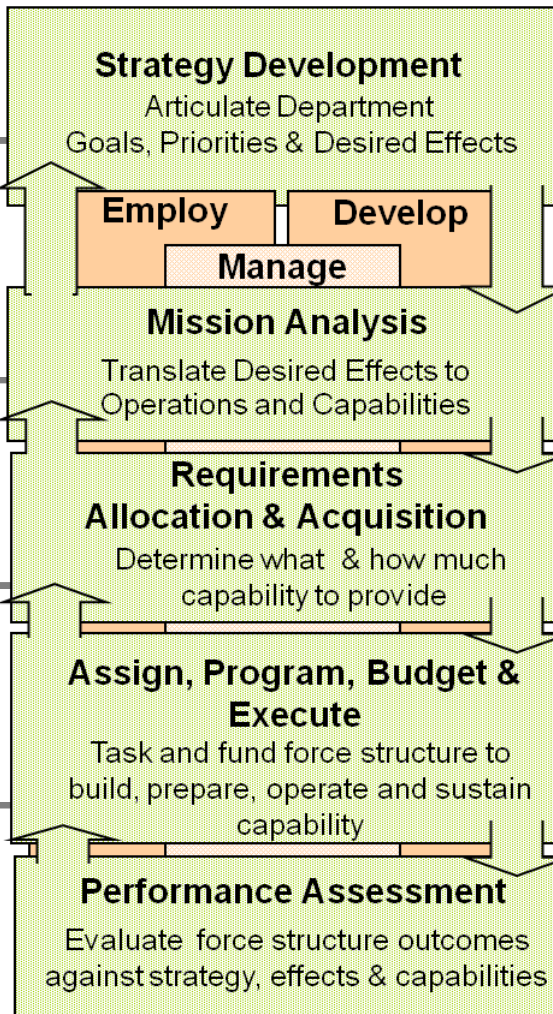
Establish an Overarching Framework

Align Processes, Roles & Outputs to Support the Framework

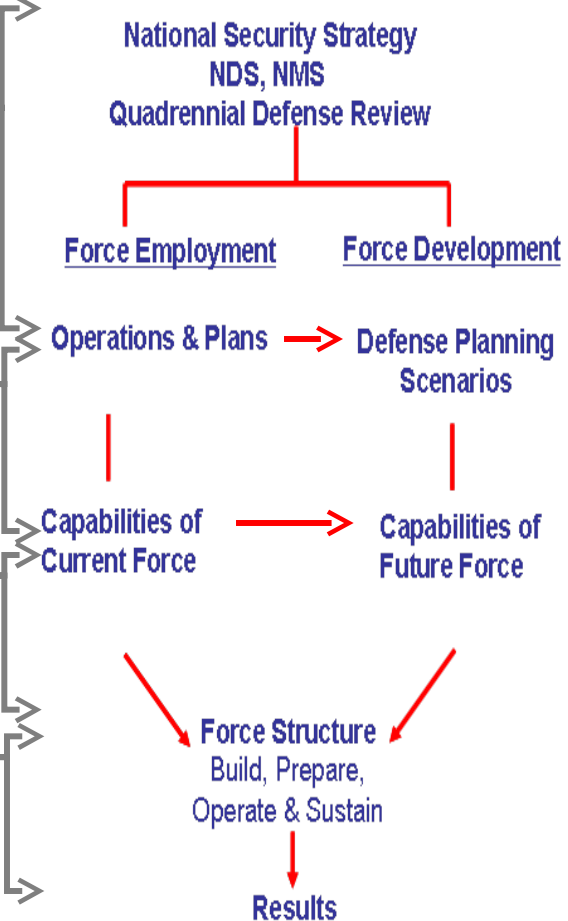
Framework



Process Alignment



Decision Points & Outputs

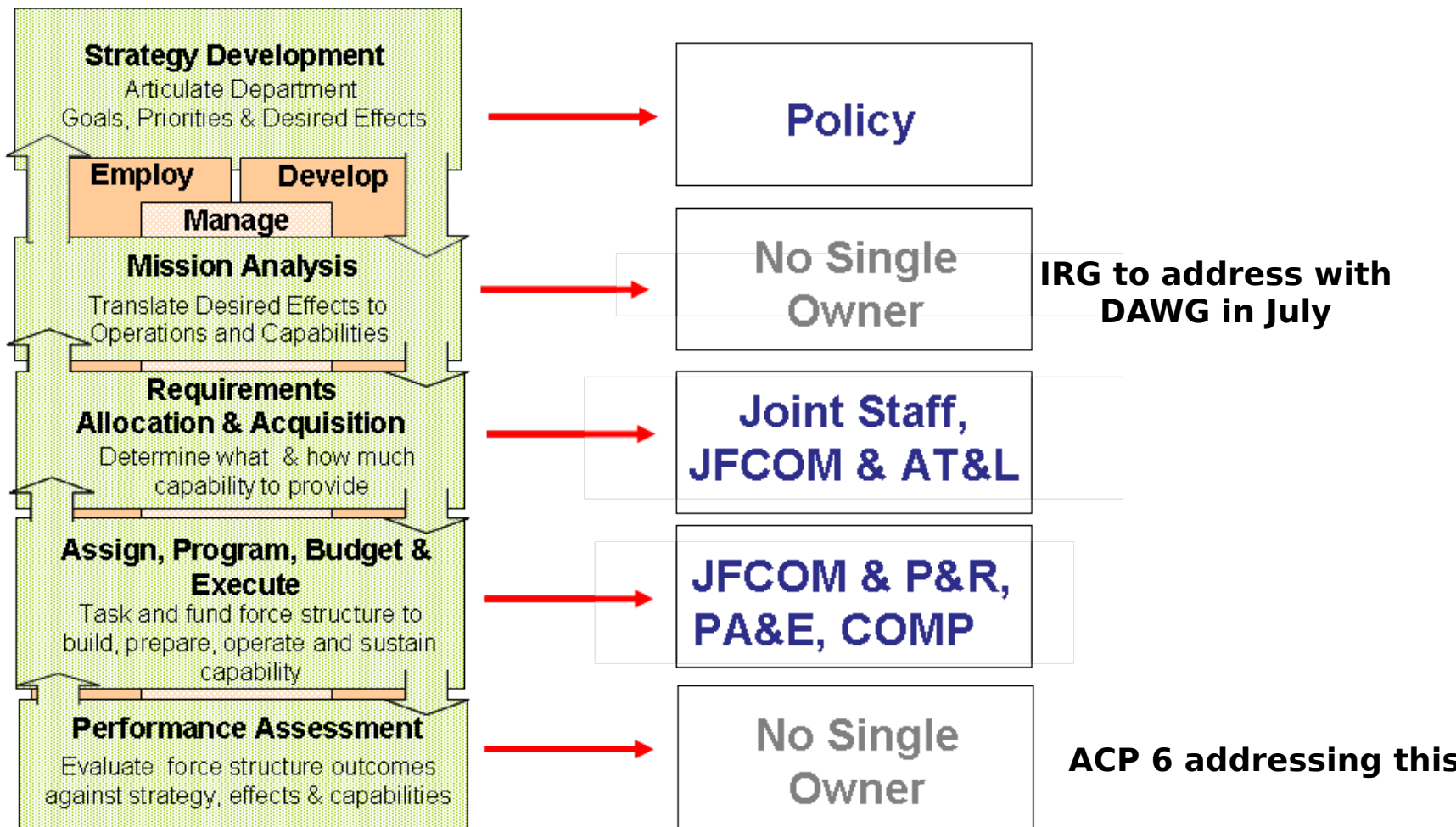




Establishing Enterprise Process Leads

Core Processes

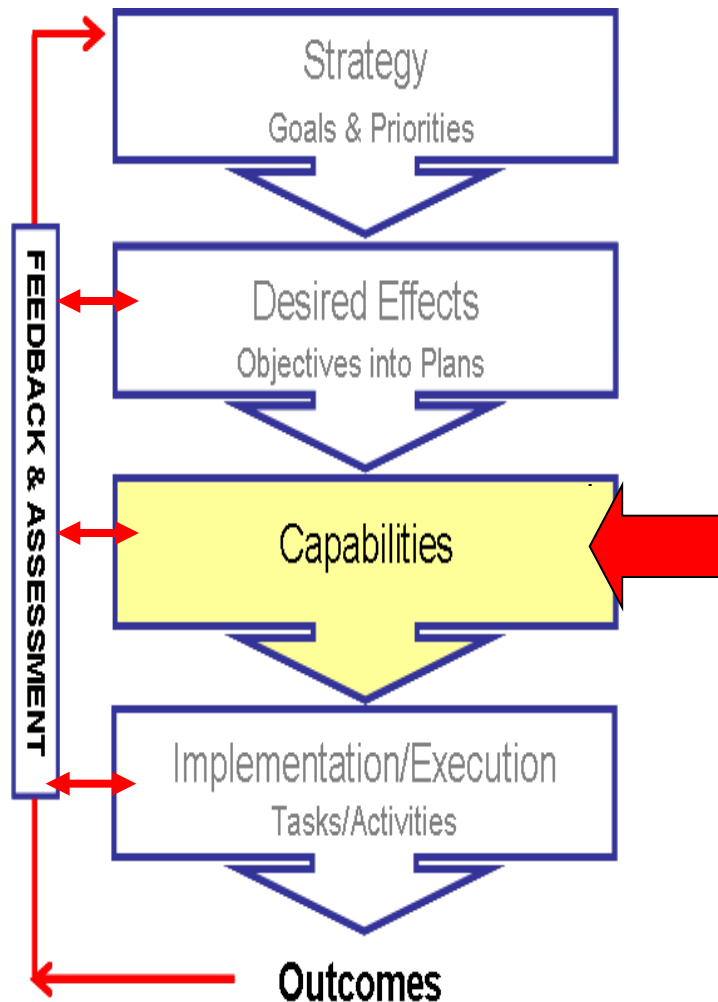
Core Process Leads at Enterprise



Each Process needs an Accountable Enterprise Owner/Integrator



Establish the Capability Component



□ ACP 3 Task 1:

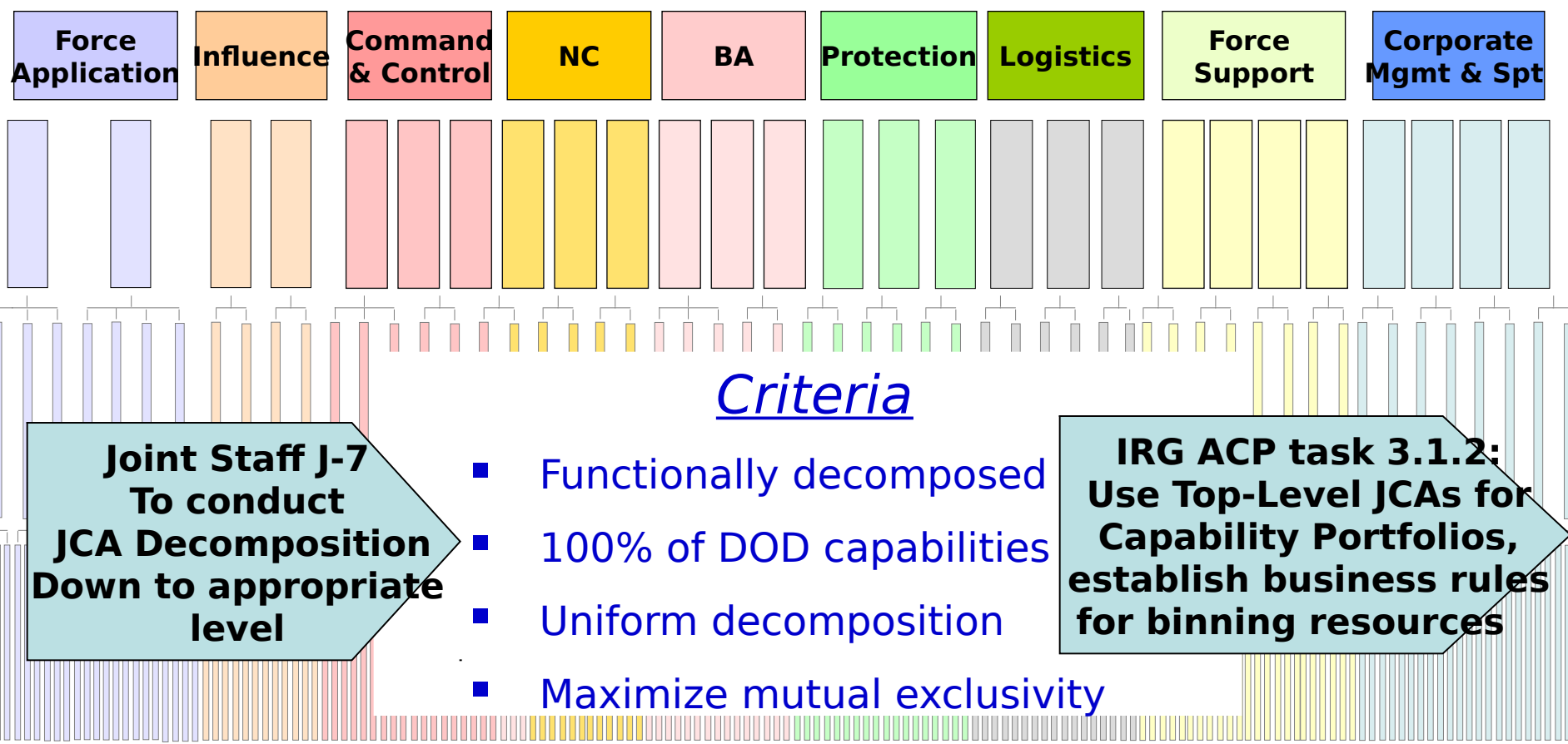
- Leveraging the JCA Re-Baseline, develop the capability component of the framework that:
 - Enables the translation of current and future operational goals into capabilities,
 - Links them to core Department management processes, functions and organizations

□ JCA Re-Baseline in 2 Phases

- **Phase 1 - Develop top-level "Functional" JCA's**
 - Functional, a manageable number
 - 100% of DoD capabilities, mutually exclusive capability binned once
 - Define Scope
 - Develop a 2nd level that begin to decompose the top-level, but could be adjusted during phase two decomposition
- Phase 2 - Decompose Top Level , leveraging as much of existing Tier Two JCA's as possible



JROC Decision on JCAs



DAWG Action: Endorse Top-Level JCAs as Integrated Capability Portfolios



Relate Resources to the Framework

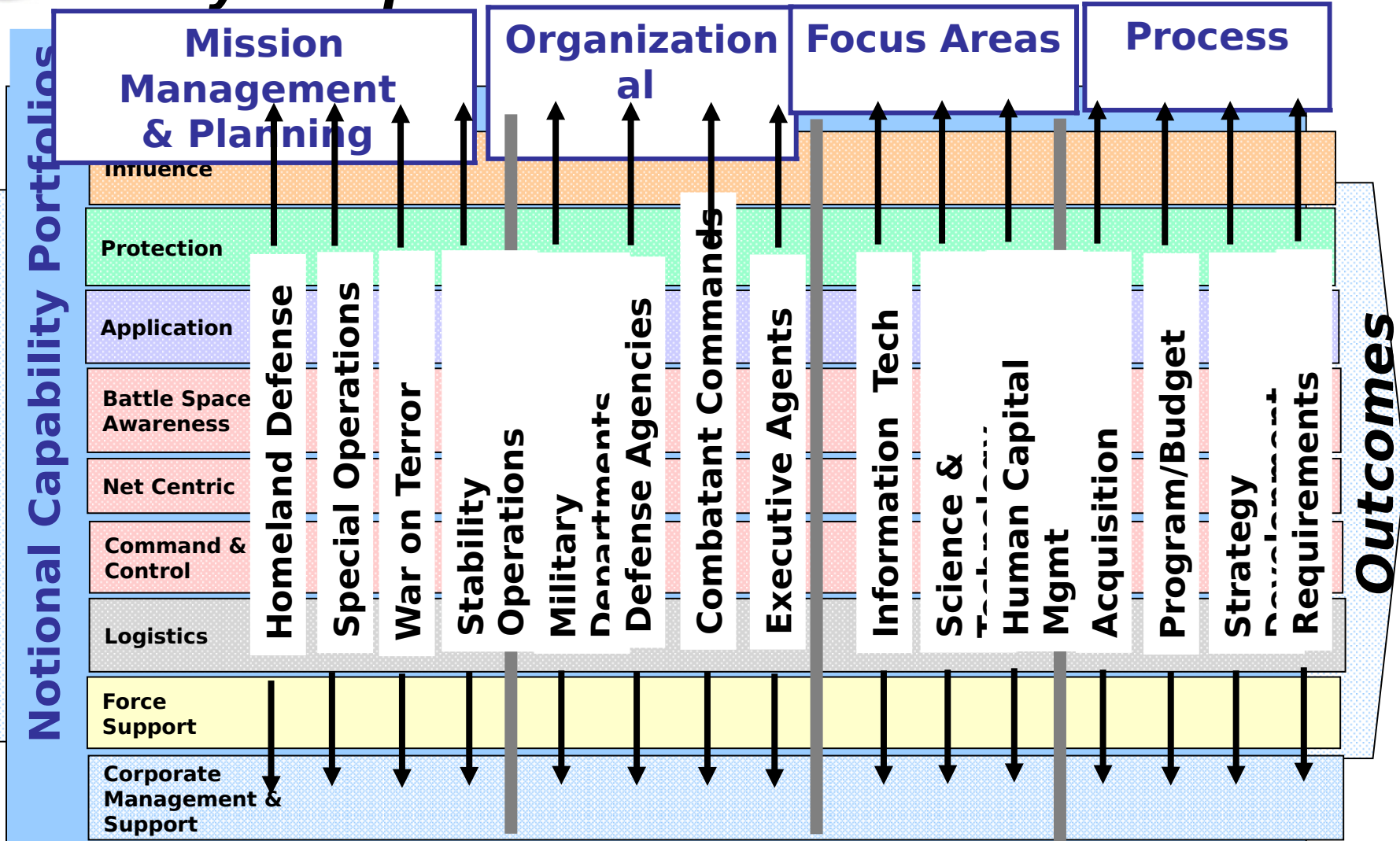
- ❑ Task 3.1.2 Using the Capability Portfolios develop experimental displays for FY 2009 to determine full-up implementation requirements approach for FY 2010 cycle
 - As core process owners, Comptroller, AT&L, PA&E, Policy P&R, & Joint Staff in concert with Components will
 - ❑ Establish business rules for aligning common resource data—people, money and things to capability portfolios
 - ❑ Develop experimental capability portfolio displays based on the business rules from core process owner's
 - ❑ Identify issues with current configuration of data sources
 - Present Business Rules to the DAWG by August 2007
 - Present status/findings to the DAWG by October 2007

AWG Action: Designate a lead (PA&E) to coordinate among core process owner to establish business rules for relating resources to the framework



Top Level JCA's Provide the Basis for Facilitating Management Decisions across many Perspectives

Strategy



ACP 3.1.3 Concept For Enterprise Management Information



Integrated Information Management— What We Have Learned Thus Far

- ❑ Working with Action Officers from across the Department—Services, OSD JS, CIO and BTA
 - Lots of good efforts occurring individually within processes, and components but no enterprise information management plan
 - Information Integration needs to start with the core processes at the enterprise level and cascade down
 - Need a **data sharing** plan at the enterprise level that
 - aligns to decision framework,
 - leverages existing standards and systems,
 - streamlines data collection requirements, and
 - recognizes component data as the authoritative source
 - There are existing data strategy concepts and efforts that can be leveraged and adapted to enable effective management at the enterprise level

Conclusion: What's missing is an enterprise Integrated Management Information Plan (IMIP) and a governance function



Integrated Management Information Plan

- ❑ Task 3.1.3 Develop an Integrated Management Information Plan to support the senior leadership decision-making required to make the strategy to outcomes framework functional
 - Formally align and leverage independent data efforts across OSD, the Joint Staff and the Components to improve data integration, transparency and agility across the framework
 - Identify the information and data needs to support enterprise decision making and performance assessment;
 - Develop enterprise standards for those information and data needs;
 - Identify authoritative data sources to support the information and data needs;
 - Develop an implementation plan for data transparency throughout the enterprise;
 - Determine an effective management of enterprise data



Options for Governance and IMIP

- ❑ Federated Management and Execution: Use of a Capability Framework is up to process owners and components no formal enterprise level plan, oversight or enforcement
- ❑ Joint Management, Federated Execution: Form or leverage an existing matrixed council/ board consisting of Core Process owners and Capability Portfolio “advocates” to establish and enforce the IMIP
- ❑ Centrally Managed and Executed: Create or leverage an existing organization to develop and implement a plan for and enforcement of the formal alignment and integration of independent data efforts across OSD, JS and the

DAWG Action: Determine preferred governance approach; and direct the creation and implementation of an Integrated Management Information Plan (IMIP) to support the Department’s strategy to outcomes decision framework



Action Summary

- ☐ Approve Framework and Direct Process Alignment to Framework
- ☐ Endorse Top-Level JCAs as Integrated Capability Portfolios
- ☐ Designate a lead (PA&E?) to coordinate among core process owners to establish business rules for relating resources to capabilities
- ☐ Determine preferred governance approach; and direct the creation and implementation of an Integrated Management Information Plan (IMIP) to support the Department's strategy to outcomes decision framework



Back Up

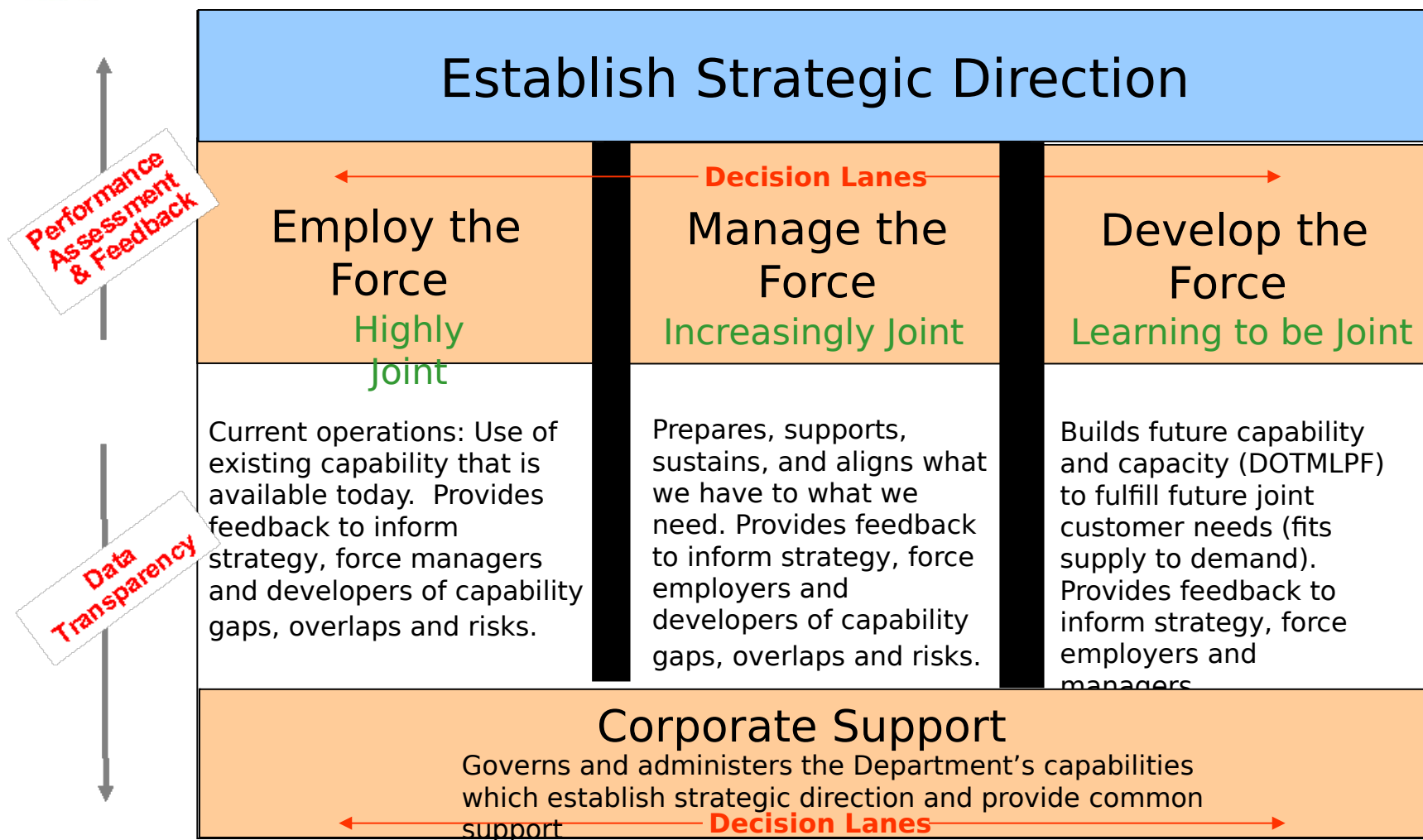


IRG Framework Objectives

- ❑ Establish a decision framework that enables the Department to align strategy to outcomes.
 1. Optimized for enterprise management
 2. Better managing like resources
 3. Applies to all defense organizations and activities
 4. Supports a Capability-Based Approach
 5. Understands, defines, and pursues success in terms of the customer, the joint warfighter.
 6. Allows explicit and honest balance, at the appropriate level, between risks and priorities to get the best value for the taxpayer.
 7. Provides an audit trail back to strategy and ensures appropriate transparency to secure confidence and ensure support, internally and externally
 8. Produces defensible and actionable options for leadership based upon timely and sound analyses in a standard context.
 9. Monitors effectiveness continually to minimize gaps and overlaps and ensure proper mission alignment.
 10. Creates understanding of resource and process implications of decisions before executing.
 8. Establishes and enforces the use of authoritative, factual, transparent, and interoperable data/information sources and standards.



General Management Decision Framework





Top Level JCAs & Definitions

Force Application Influence

Definition: The ability to maneuver and engage the enemy to create the effects necessary to achieve mission objectives.

Definition: The ability to shape the decisions, actions, and/or perceptions of key foreign leaders & populations by delivering thematic messages & conducting activities to advance the interests of the USG and its key partners, while strengthening key U.S. international relationships.

Command & Control Net-centric

Definition: The ability to exercise authority and direction by a properly designated commander over assigned and attached forces in the accomplishment of the mission.

Definition: The ability to exploit all human and technical elements of the joint force and its mission partners by fully integrating collected information, awareness, knowledge, experience, and decision making, enabled by secure access and distribution.

Battlespace Awareness

Definition: The ability to develop and share situational awareness and to produce intelligence through persistent and pervasive observation of all domains.

Protection

Definition: The ability to prevent/mitigate adverse effects of attacks on personnel (combatant/non-combatant) and physical assets of the United States, allies and friends.

Logistics

Definition: The ability to project & sustain the operational readiness of the joint force through deliberate sharing of National and multi-national resources to support operations, extend operational reach and provide the joint force commander freedom of action necessary to meet mission objectives.

Force Support

Definition: The ability to maintain personnel readiness, establish and field mission ready joint organizations, and provide, operate, and maintain capable installation assets across the total force to ensure needed capabilities are available to enable the National Defense Strategy.

Corporate Mgmt & Support

Definition: The ability to govern and administer the Department's activities which establish strategic direction and provide common support to force employers, managers and developers.